

# Rhode Island Emergency Solutions Grant (ESG)

## Substantial Amendment to Consolidated Plan



Administered by:

RI Consolidated Homeless Fund Partnership  
PY 2011

State of Rhode Island  
City of Pawtucket  
City of Providence  
City of Woonsocket

# EMERGENCY SOLUTIONS GRANT

## SUBSTANTIAL AMENDMENT TO CONSOLIDATED PLAN PY 2011

### DRAFT REPORT

#### MARCH 12, 2012

**Jurisdiction(s): \***

State of Rhode Island  
City of Pawtucket  
City of Providence  
City of Woonsocket

**Jurisdiction Web Address:**

<http://www.hrc.ri.gov/index.php>

*(URL where ESG Substantial Amendment materials are posted)*

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*\*This Amendment is completed on behalf of the State of Rhode Island, City of Pawtucket, City of Providence, and City of Woonsocket, who have collaborated together via a memorandum of agreement to form a consortium in order to solicit applications and administer the Emergency Solutions Grant.*

*Herein, this collaboration will be referred to as the Rhode Island Consolidated Homeless Fund Partnership (CHF Partnership).*

## **ESG Substantial Amendment PY 2011**

This document is the substantial amendment to the Rhode Island Consolidated Homeless Fund Partnership's Consolidated Plan. The amendment addresses the second round of funding of the Emergency Solutions Grant (ESG) program ("Round 2" funding). This substantial amendment is organized by the categories that the U.S. Department of Housing & Urban Development (HUD) requires be included in the ESG Substantial amendment. These include:

- Summary of the consultation process;
- Summary of the Citizen Participation Process;
- Matching funds;
- Proposed activities for Round 2 ESG and eligible funding/budget;
- Written Standards for Provision of ESG Assistance;
- The process for ESG Round 2 awards;
- Homeless Participation requirement; and
- Required performance standards.

The HUD-required SF-424 and ESG certifications are submitted to HUD with the final document.

### **1. SF-424**

*Will be submitted to HUD with the Final Document.*

### **2. SUMMARY OF CONSULTATION PROCESS**

*Describe how the recipient consulted with the Continuum(s) of Care on:*

- *Determining how to allocate ESG funds for eligible activities;*
- *Developing the performance standards for activities funded under ESG; and*
- *Developing funding, policies, and procedures for the operation and administration of the HMIS.*

The Rhode Island Consolidated Homeless Partnership (CHF Partnership) sought the input of the Rhode Island Continuum of Care (COC) on various topics via surveys and community meetings, as indicated in the following pages.

### Allocation of ESG funds for eligible activities:

In December 2012 the CHF Partnership held two “COC Stakeholder Input Sessions” to foster discussions with service providers and COC members regarding the allocation and coordination of ESG funds. These sessions were split into two separate topic areas:

- Shelter & Homeless Service Input Session – Friday December 9<sup>th</sup>, 2011
- Homelessness Prevention & Rapid Re-Housing Session – Monday December 12, 2011

Additionally, an electronic survey was distributed to COC members, community stakeholders, and current homeless service providers on December 9<sup>th</sup>, 2011.

Both the input sessions and surveys asked participants to:

- Review and discuss current/future funding needs and priorities for
  - Family vs. Individual Programs
  - Shelter & Transitional Housing vs. HPRP
  - Street Outreach & Services Only vs. Housing/Shelter Programs
  - Creation of new beds/units vs. reallocation of current bed capacity
  - Regional needs and service coverage, urban vs. rural
- Give feedback on new ideas for initiatives or program changes –
  - Performance standards for programs (shelter vs. services)
  - Introduction of performance based funding models
  - Ideas for coordinated intake systems (no wrong door vs. centralized)
  - Troubleshooting for HMIS, ideas for expansion (scanning files, integrated case management, etc)
  - Universal Waitlists and increased agency collaboration (Program MOAs, etc)
  - Request for Proposals, Application and funding timeline changes (inspections, etc)

The CHF Partnership reviewed all comments received during the input sessions and surveys, considering then in developing the final draft of the 2012 CHF Request for Funding and the ESG Substantial Amendment.

### Performance Standards for ESG activities

Performance standards were included in the discussions in the surveys and input sessions listed above. Additionally, the update to Rhode Island's 10 Year Plan (occurring in the winter of 2011-2012), lead by the Continuum of Care and the CHF Partnership, has devoted much time to the discussion of performance standards for shelters and homeless service providers.

Lastly, the CHF Partnership distributed a survey specifically regarding performance standards on March 14, 2012 to COC stakeholders, current service providers, and other community members. Topics in this survey included:

- Performance Standard Coverage (Statewide vs. individualized, short vs. long term, etc.)
- Indicators of positive and negative performance (Exits to permanent housing, length of stay, recidivism, income, etc)
- Ideas for Technical Assistance (TA) to help agencies realize goals & build capacity
- Ideas for enforcement of performance standards (reward/bonuses for high performers, include intensive TA to poor performers, etc)

The CHF Partnership reviewed all comments received during the input sessions and surveys, considering then in developing the final draft of the 2012 CHF Request for Funding and the ESG Substantial Amendment.

The CHF Partnership started including performance standards in the funding contracts with subrecipients in the 2011 ESG program year. To develop these standards the CHF Partnership held workshops and met with each ESG funded grantee and worked with them to create individual performance standard plans that typically included:

- Increasing permanent housing
- Reducing length of stay
- Increasing average household income at exit

These performance standards are reviewed periodically by the CHF Partnership and subrecipients. Performance with regards to their standards is also an important component of the following years review committee, when allocating funds.

### Operation and Administration of the Homeless Information Management System (HMIS)

One continuum covers all of Rhode Island, with one agency, the Rhode Island Coalition for the Homeless (RICH) acting as the lead HMIS agency. RICH oversees the HMIS system, trains users, provides troubleshooting, and serves as the central portal for collection and dissemination of data. RICH is overseen by its funders who include: RI Housing (Lead COC applicant) and the CHF Partnership.

A stakeholder input meeting regarding the funding, policies, and procedures for the operation and administration of the Homeless Information Management System (HMIS) was held on January 17<sup>th</sup>, 2012. Attendees included the CHF Partnership, the lead HMIS agency, the lead applicant for the COC, and a HMIS data analyst (from a local university). Topics covered during this meeting included:

- Budget and costs of managing the system
- Potential funding opportunities
- Staffing needs (as system grows and more emphasis is placed on data)
- Ideas for policies governing decision making, licenses, etc
- Updates to current Rhode Island's Data Quality Standards (2010)

The discussion of HMIS was also included in the discussions in the surveys and input sessions listed above.

The CHF Partnership considered all comments received during the input session when developing the final draft of the 2012 CHF Request for Funding and the ESG Substantial Amendment. In the future, additional HMIS input sessions will be held as policies are added and refined.

### 3. SUMMARY OF CITIZEN PARTICIPATION PROCESS

*Describe how the citizen participation process used in preparing this document, including:*

- *Summary of public comments & views received*
- *Summary of public comments & views not accepted, including the reasons for not accepting those comments or views*

The CHF Partnership held a 30-day public comment period of the Draft Substantial Amendment starting March 23, 2012 and ending April 25<sup>th</sup>, 2012. The public input process included notification through posting the document on the CHF Partnership's website, notifying parties signed up to receive email notifications, and notices published in the following periodicals:

- Providence Journal
- Providence En Español
- Pawtucket Times
- Woonsocket Call

The public will also had an opportunity to provide public comment at the Rhode Island Housing Resource Commission meeting held on March 30<sup>th</sup>. A notice regarding this meeting was published, in accordance with the R.I. Secretary of State's Open Meeting requirements, no later than 48 hours before such meeting.

In preparing the final Substantial Amendment for ESG, the CHF Partnership considered any written and verbal testimony received by the end of the comment period. Comments received and responses provided appear in the following paragraphs.

#### Summary of Comments or Views:

- *Will be collected and submitted with final draft to HUD*
- \_\_\_\_\_

#### Summary of Comments or Views not accepted and the reasons therefore:

- *Will be collected and submitted with final draft to HUD*
- \_\_\_\_\_

#### 4. MATCH

*Specify the types, amounts, and proposed uses of the resources that will be used as a match for ESG funds.*

The CHF Partnership oversees a variety of homeless service funding grants including:

- City of Pawtucket ESG
- City of Providence ESG
- City of Woonsocket ESG
- State of Rhode Island ESG
- State of Rhode Island Housing Resource Commission Homeless Funds, \$1,190,000
- Social Service Block Grant Funds, \$1,368,385 (*from the Federal Department of Health and Human Services, passed through the Rhode Island Department of Human Services*)

Due to this unique collaboration, the CHF Partnership is able to provide 100% matching funds without transferring the match responsibility to ESG subrecipients. The CHF Partnership uses the rules, regulations, and policies in the ESG regulations as the basis of the program design for all CHF programs (even those that are not directly funded under ESG).

Although specific ESG award decisions have not yet been made for the second allocation of PY 2011 and the full allocation of PY 2012, all activities that are funded under the ESG match allocations will be in accordance with the Interim Rule's new requirements and regulations (and will be monitored by the CHF Partnership as such).

Below is a chart summarizing the cash contributions for the matching funds for ESG:

<b>Second Allocation of PY 2011</b>	<b>Matching Source</b>	<b>Amount</b>
State of Rhode Island	2012 Social Service Block Grant	\$ 200,550.00
City of Pawtucket	2012 Social Service Block Grant	\$ 51,532.00
City of Providence	2012 Social Service Block Grant	\$ 140,214.00
City of Woonsocket	2012 Social Service Block Grant	\$ 33,209.00
	Total:	\$ 425,505.00
 <b>PY 2012</b>	 <b>Matching Source</b>	 <b>Amount</b>
State of Rhode Island	2012 Housing Resource Commission Funds	\$ 538,914.00 *
City of Pawtucket	2012 Social Service Block Grant	\$ 163,715.00
City of Providence	2012 Social Service Block Grant	\$ 445,372.00
City of Woonsocket	2012 Social Service Block Grant	\$ 105,521.00
	Total:	\$1,253,522.00
	2012 Social Service Block Grant Total:	\$1,140,113.00
	2012 Housing Resource Commission Funds Total:	\$ 538,914.00

*\* The first 100,000 of State ESG funds are waived from the matching requirement, so only 538,914 of the 638,914 award is matched.*

Only activities eligible under and in compliance with the ESG Interim rule will receive the match resources listed above.



## **5. PROPOSED ACTIVITIES AND OVERALL BUDGET**

*a. Proposed Activities – Describe each activity to be funded using ESG funds, including:*

- *Corresponding priority need from the recipient's Annual Action Plan,*
- *Number and types of persons to be served,*
- *Corresponding objective & outcome category,*
- *Start date and completion date,*
- *ESG and other Funding Amounts,*
- *One or more performance indicators, &*
- *Projected accomplishments.*

The CHF Partnership has detailed the information above in the chart detailed in the following page.

## Proposed Activities (July 1, 2012 – June 31, 2013)

Proposed Activities (July 1, 2012 – June 31, 2013)									
Activity	Description	Priority Need	Population	Number of Persons	Objective	ESG Outcome	Funding Amount	Performance Indicator	Projected Accomplishment
Rapid Re-Housing Services	The provision of emergency services to help individuals and families that are at risk-of homelessness or currently homeless to quickly stabilize their housing situation and transition to permanent housing. Including: Housing Stability Case Management, Housing Search and Placement Assistance, Landlord Mediation or outreach to property owners. Legal services related with eviction defense and prevention, & Credit repair or financial counseling services.	HIGH Need	Eligible homeless individuals and families (below 30% AMI, likely to sustain housing once assistance ends, and willing to participate in financial counseling and case management).	260 Persons, 130 Households	Decent Housing	Availability/a ccessibility	\$ 85,477.08 ESG (Second Allocation of PY 2011)	Increase exits to Permanent Housing from emergency and transitional shelters. Reduce length of stay in emergency and transitional shelters.	> Increase exits to Permanent Housing by 2-5%. > Reduce length of stay in emergency and transitional shelters by 2-4%. > Reduce the number of households utilizing emergency and transitional shelters by 1-3%. > Increase the household average income at exit by 2-3%. > Decrease exits to emergency shelter by 2-5%. > Increase HMIS data quality by 4-8%.
		HIGH Need	At-risk of homelessness individuals and families (below 30% AMI, likely to sustain housing once assistance ends, and willing to participate in financial counseling and case management).	100 Persons, 50 Households	Decent Housing	Availability/a ccessibility	\$ 49,695.98 ESG (Second Allocation of PY 2011)	Increase the number of households diverted from entering emergency shelter. Decrease the number of households utilizing emergency and transitional shelter.	
Rapid Re-Housing Financial Assistance	The provision of emergency services to help individuals and families that are at risk-of homelessness or currently homeless to quickly stabilize their housing situation and transition to permanent housing. Including: Rental Assistance (Includes up to 6 months of arrears), Rental Deposits, Utility Assistance (Includes up to 6 months of arrears), Utility Deposits, & Moving Cost Assistance.	HIGH Need	See Rapid Re-Housing Services	See Rapid Refocusing Service Count	Decent Housing	Availability/a ccessibility	\$ 149,087.92 ESG (Second Allocation of PY 2011)	See Rapid Re-Housing Services	
Homelessness Prevention Financial Assistance		HIGH Need	See Homelessness Prevention Services	See Homelessness Prevention Count	Decent Housing	Availability/a ccessibility	\$ 49,695.98 ESG (Second Allocation of PY 2011)	See Homelessness Prevention Services	
Emergency Shelter Operations	Maintenance, operation, insurance, provision of utilities, and provision of furnishings related to emergency shelters.	HIGH Need	Homeless individuals and families.	4,000 persons, 2,000 households	Decent Housing	Availability/a ccessibility	\$ 453,983.53 ESG (First Allocation PY 2011) & Match Resources*	Increase exits to permanent Housing from emergency shelters. Reduce length of stay in emergency shelters. Increase average household income at program exit. Decrease exits to emergency shelter.	
Emergency Shelter Essential Services	The provision of essential services related to emergency shelter, including: Case Management, Child Care, Education Services, Employment Assistance and Job Training, Legal Services, Life Skills, Mental Health Services, Outpatient Health Services, Substance Abuse Treatment Services, & Transportation.	HIGH Need	Homeless individuals and families.	4,500 persons, 2,250 households	Decent Housing	Availability/a ccessibility	\$ 264,647.78 ESG (First Allocation PY 2011) & Match Resources*	Increase exits to permanent Housing from emergency shelters. Reduce length of stay in emergency shelters. Increase average household income at program exit. Decrease exits to emergency shelter.	
HMIS Administration	Support of the costs associated with entering data in and collecting reports from the Rhode Island's Homeless Management Information System (HMIS).	HIGH Need	N/A	N/A	Decent Housing	Availability/a ccessibility	\$ 59,635.17 ESG (Second Allocation of PY 2011)	Increase data quality and completeness in HMIS.	
Administration	Funds to administer the ESG program.	N/A	N/A	N/A	N/A	N/A	69735.58 ESG (First and Second and Allocation of PY 2011)	N/A	
						Total:	\$ 1,181,959		

\*Table illustrates estimates ONLY and actual figures will vary based on funding decisions.

## **b. Discussion of Funding Priorities**

*Explain the reasoning for funding the proposed activities at the amounts specified in the previous chart. HUD strongly encourages recipients to use that data to support its funding priorities. In addition, HUD encourages each recipient to describe how its funding priorities will support the national priorities established in “Opening Doors: Federal Strategic Plan to Prevent and End Homelessness.”*

The CHF Partnership developed its estimated funding priorities through consultation with various sources, including COC/community stakeholders, service providers, consumer feedback, and HMIS data. Additionally, the Federal Strategic Plan, “Opening Doors” not only served as the basis for the plans related to ESG, but was also the foundation for the updates to Rhode Island’s Ten Year Plan (2012).

In following Opening Doors objectives, the CHF Partnership emphasized many of the objectives listed in the plan, including but not limited to:

- Increased emphasis on performance and client outcomes (exits to permanent housing, increased income, reduced length of stay, etc.),
- Prioritizing funding for HPRP type activities, &
- Increased collaboration between providers and other mainstream resources.

During the input sessions in December 2011, many of the stakeholders and service providers indicated a strong need for more service dollars (case management, training, street outreach, etc) to help stabilize households and reduce shelter lengths of stay. Therefore the CHF Partnership devoted more ESG funds towards service and street outreach dollars, than had been allocated in the past.

Through consultation with client level data in HMIS and annual Point in Time counts, the importance of continued support of emergency shelters was realized. Last year over 4,000 persons utilized an emergency shelter. While emergency shelters are not the ideal destination for any family or individual, they provide a needed emergency response, when no other resources are available (HPRP, family/friends, transitional housing, etc). During the input sessions in December 2011 providers reinforced the demand for operation expenses associated with emergency shelters.

Homelessness Prevention and Rapid Re-Housing (HPRP) services and financial assistance are a major component of the ESG funding plan. Through the utilization of the HPRP funded by the 2009 stimulus bill, Rhode Island was able to prevent 3,185 persons from entering shelter and help 712 persons move from shelter to permanent housing. Many providers and consumers indicated that had HPRP not existed many more persons would have entered (or stayed longer) in the homeless system, burdening an already “stressed” continuum. Based on the current utilization of the shelter system, input from providers, and federal guidance, the CHF Partnership elected to prioritize funding within HPRP on Rapid Re-Housing activities, over Homelessness Prevention activities.

Lastly, the estimated funding allocation for management and coordination of HMIS was developed through discussions with the lead HMIS agency and the COC. The CHF Partnership took into account the increased federal emphasis on reporting, accurate client level data, and performance measurement (based on records in HMIS). Therefore, the CHF Partnership increased the estimated funding for HMIS to allow for additional staff that can assist with training staff, troubleshooting, and data collection for the measuring of ESG performance measurements.

c. Detailed Budgets

GRAND TOTAL		FY 2011 Detailed Budget Table			
First Allocation	\$697,415.00	<div style="text-align: center;"> <b>FY 2011</b>  <b>Emergency Shelter Grants/Emergency Solutions Grants</b>  <b>Program Allocations</b> </div>			
Second Allocation	\$425,505.00				
Grant Amount	\$1,122,920.00				
Total Administration	\$69,735.58				
		First Allocation		Second Allocation	Total Fiscal Year 2011
	Eligible Activities	Activity Amount	Repgm Amount	Activity Amount	Activity Amount
Emergency Shelter Grants Program	Homeless Assistance	\$662,544.25	\$0.00		\$662,544.25
	Rehab/Conversion	\$0.00	\$0.00		\$0.00
	Operations	\$414,722.59	\$0.00		\$414,722.59
	Essential Services	\$247,821.66	\$0.00		\$247,821.66
	Homelessness Prevention	\$0.00	\$0.00		\$0.00
	Administration	\$34,870.75	\$0.00		\$34,870.75
	<b>Emergency Shelter Grants Subtotal</b>	<b>\$697,415.00</b>	<b>\$0.00</b>		<b>\$697,415.00</b>
Emergency Solutions Grants Program	Emergency Shelter**			\$0.00	\$0.00
	Renovation**			\$0.00	\$0.00
	Operation**			\$0.00	\$0.00
	Essential Service**			\$0.00	\$0.00
	URA Assistance**			\$0.00	\$0.00
	Street Outreach - Essential Services**			\$0.00	\$0.00
	HMIS		\$0.00	\$59,635.17	\$59,635.17
	Rapid Re-housing		\$0.00	\$234,565.00	\$234,565.00
	Housing Relocation and Stabilization Services		\$0.00	\$85,477.08	\$85,477.08
	Tenant-Based Rental Assistance		\$0.00	\$74,543.96	\$74,543.96
	Project-Based Rental Assistance		\$0.00	\$74,543.96	\$74,543.96
	Homelessness Prevention		\$0.00	\$99,391.95	\$99,391.95
	Housing Relocation and Stabilization Services		\$0.00	\$49,695.98	\$49,696
	Tenant-Based Rental Assistance		\$0.00	\$24,847.99	\$24,848
	Project-Based Rental Assistance		\$0.00	\$24,847.99	\$24,847.99
	Administration			\$31,912.88	\$31,912.88
	<b>Emergency Solutions Grants Subtotal</b>		<b>\$0.00</b>	<b>\$425,505.00</b>	<b>\$425,505.00</b>
			<b>Total Grant Amount:</b>		<b>\$1,122,920.00</b>

\*\*Allowable only if the amount obligated for homeless assistance activities using funds from the first allocation is less than the expenditure limit for emergency shelter and street outreach activities (see Section III.B. of this Notice).

State of RI		FY 2011 Detailed Budget Table			
First Allocation	\$356,534.00	<b>FY 2011</b>			
Second Allocation	\$200,550.00	<b><u>Emergency Shelter Grants/Emergency Solutions Grants</u></b>			
Grant Amount	\$557,084.00	<b><u>Program Allocations</u></b>			
Total Administration	\$32,867.95				
		First Allocation		Second Allocation	Total Fiscal Year 2011
	Eligible Activities	Activity Amount	Repgrm Amount	Activity Amount	Activity Amount
Emergency Shelter Grants Program	Homeless Assistance	<b>\$338,707.30</b>	<b>\$0.00</b>		<b>\$338,707.30</b>
	Rehab/Conversion	\$0.00	\$0.00		\$0.00
	Operations	\$237,095.11	\$0.00		\$237,095.11
	Essential Services	\$101,612.19	\$0.00		\$101,612.19
	Homelessness Prevention	<b>\$0.00</b>	<b>\$0.00</b>		<b>\$0.00</b>
	Administration	<b>\$17,826.70</b>	<b>\$0.00</b>		<b>\$17,826.70</b>
	<b>Emergency Shelter Grants Subtotal</b>	<b>\$356,534.00</b>	<b>\$0.00</b>		<b>\$356,534.00</b>
Emergency Solutions Grants Program	Emergency Shelter**			<b>\$0.00</b>	<b>\$0.00</b>
	Renovation**			\$0.00	\$0.00
	Operation**			\$0.00	\$0.00
	Essential Service**			\$0.00	\$0.00
	URA Assistance**			\$0.00	\$0.00
	Street Outreach - Essential Services**			<b>\$0.00</b>	<b>\$0.00</b>
	HMIS		<b>\$0.00</b>	<b>\$28,107.39</b>	<b>\$28,107.39</b>
	Rapid Re-housing		<b>\$0.00</b>	<b>\$110,555.72</b>	<b>\$110,555.72</b>
	Housing Relocation and Stabilization Services		\$0.00	\$40,287.25	\$40,287.25
	Tenant-Based Rental Assistance		\$0.00	\$35,134.23	\$35,134.23
	Project-Based Rental Assistance		\$0.00	\$35,134.23	\$35,134.23
	Homelessness Prevention		<b>\$0.00</b>	<b>\$46,845.64</b>	<b>\$46,845.64</b>
	Housing Relocation and Stabilization Services		\$0.00	\$23,422.82	\$23,423
	Tenant-Based Rental Assistance		\$0.00	\$11,711.41	\$11,711
	Project-Based Rental Assistance		\$0.00	\$11,711.41	\$11,711.41
	Administration			<b>\$15,041.25</b>	<b>\$15,041.25</b>
	<b>Emergency Solutions Grants Subtotal</b>		<b>\$0.00</b>	<b>\$200,550.00</b>	<b>\$200,550.00</b>
			<b>Total Grant Amount:</b>		<b>\$557,084.00</b>

\*\*Allowable only if the amount obligated for homeless assistance activities using funds from the first allocation is less than The expenditure limit for emergency shelter and street outreach activities (see Section III.B. of this Notice).

City of Providence		FY 2011 Detailed Budget Table			
First Allocation	\$249,269.00	<b>FY 2011</b>			
Second Allocation	\$140,214.00	<b><u>Emergency Shelter Grants/Emergency Solutions Grants</u></b>			
Grant Amount	\$389,483.00	<b><u>Program Allocations</u></b>			
Total Administration	\$22,979.50				
		First Allocation		Second Allocation	Total Fiscal Year 2011
	Eligible Activities	Activity Amount	Repgm Amount	Activity Amount	Activity Amount
Emergency Shelter Grants Program	Homeless Assistance	\$236,805.55	\$0.00		\$236,805.55
	Rehab/Conversion	\$0.00	\$0.00		\$0.00
	Operations	\$116,705.50	\$0.00		\$116,705.50
	Essential Services	\$120,100.05	\$0.00		\$120,100.05
	Homelessness Prevention	\$0.00	\$0.00		\$0.00
	Administration	\$12,463.45	\$0.00		\$12,463.45
	<b>Emergency Shelter Grants Subtotal</b>	<b>\$249,269.00</b>	<b>\$0.00</b>		<b>\$249,269.00</b>
Emergency Solutions Grants Program	Emergency Shelter**			\$0.00	\$0.00
	Renovation**			\$0.00	\$0.00
	Operation**			\$0.00	\$0.00
	Essential Service**			\$0.00	\$0.00
	URA Assistance**			\$0.00	\$0.00
	Street Outreach - Essential Services**			\$0.00	\$0.00
	HMIS		\$0.00	\$19,651.20	\$19,651.20
	Rapid Re-housing		\$0.00	\$77,294.74	\$77,294.74
	Housing Relocation and Stabilization Services		\$0.00	\$28,166.73	\$28,166.73
	Tenant-Based Rental Assistance		\$0.00	\$24,564.01	\$24,564.01
	Project-Based Rental Assistance		\$0.00	\$24,564.01	\$24,564.01
	Homelessness Prevention		\$0.00	\$32,752.01	\$32,752.01
	Housing Relocation and Stabilization Services		\$0.00	\$16,376.00	\$16,376
	Tenant-Based Rental Assistance		\$0.00	\$8,188.00	\$8,188
	Project-Based Rental Assistance		\$0.00	\$8,188.00	\$8,188.00
	Administration			\$10,516.05	\$10,516.05
	<b>Emergency Solutions Grants Subtotal</b>		<b>\$0.00</b>	<b>\$140,214.00</b>	<b>\$140,214.00</b>
			<b>Total Grant Amount:</b>		<b>\$389,483.00</b>

\*\*Allowable only if the amount obligated for homeless assistance activities using funds from the first allocation is less than the expenditure limit for emergency shelter and street outreach activities (see Section III.B. of this Notice).

City of Pawtucket		FY 2011 Detailed Budget Table			
First Allocation	\$91,612.00	<u>FY 2011</u> <u>Emergency Shelter Grants/Emergency Solutions Grants</u> <u>Program Allocations</u>			
Second Allocation	\$51,532.00				
Grant Amount	\$143,144.00				
Total Administration	\$8,445.50				
		First Allocation		Second Allocation	Total Fiscal Year 2011
	Eligible Activities	Activity Amount	Repgm Amount	Activity Amount	Activity Amount
Emergency Shelter Grants Program	Homeless Assistance	\$87,031.40	\$0.00		\$87,031.40
	Rehab/Conversion	\$0.00	\$0.00		\$0.00
	Operations	\$60,921.98	\$0.00		\$60,921.98
	Essential Services	\$26,109.42	\$0.00		\$26,109.42
	Homelessness Prevention	\$0.00	\$0.00		\$0.00
	Administration	\$4,580.60	\$0.00		\$4,580.60
	<b>Emergency Shelter Grants Subtotal</b>	<b>\$91,612.00</b>	<b>\$0.00</b>		<b>\$91,612.00</b>
Emergency Solutions Grants Program	Emergency Shelter**			\$0.00	\$0.00
	Renovation**			\$0.00	\$0.00
	Operation**			\$0.00	\$0.00
	Essential Service**			\$0.00	\$0.00
	URA Assistance**			\$0.00	\$0.00
	Street Outreach - Essential Services**			\$0.00	\$0.00
	HMIS		\$0.00	\$7,222.29	\$7,222.29
	Rapid Re-housing		\$0.00	\$28,407.67	\$28,407.67
	Housing Relocation and Stabilization Services		\$0.00	\$10,351.95	\$10,351.95
	Tenant-Based Rental Assistance		\$0.00	\$9,027.86	\$9,027.86
	Project-Based Rental Assistance		\$0.00	\$9,027.86	\$9,027.86
	Homelessness Prevention		\$0.00	\$12,037.15	\$12,037.15
	Housing Relocation and Stabilization Services		\$0.00	\$6,018.57	\$6,019
	Tenant-Based Rental Assistance		\$0.00	\$3,009.29	\$3,009
	Project-Based Rental Assistance		\$0.00	\$3,009.29	\$3,009.29
	Administration			\$3,864.90	\$3,864.90
	<b>Emergency Solutions Grants Subtotal</b>		<b>\$0.00</b>	<b>\$51,532.00</b>	<b>\$51,532.00</b>
			<b>Total Grant Amount:</b>		<b>\$143,144.00</b>

\*\*Allowable only if the amount obligated for homeless assistance activities using funds from the first allocation is less than the expenditure limit for emergency shelter and street outreach activities (see Section III.B. of this Notice).

City of Woonsocket		FY 2011 Detailed Budget Table			
First Allocation	\$59,039.00	<b>FY 2011</b> <b><u>Emergency Shelter Grants/Emergency Solutions Grants</u></b> <b><u>Program Allocations</u></b>			
Second Allocation	\$33,209.00				
Grant Amount	\$92,248.00				
Total Administration	\$5,442.63				
		First Allocation		Second Allocation	Total Fiscal Year 2011
	Eligible Activities	Activity Amount	Repgm Amount	Activity Amount	Activity Amount
Emergency Shelter Grants Program	Homeless Assistance	\$56,087.05	\$0.00		\$56,087.05
	Rehab/Conversion	\$0.00	\$0.00		\$0.00
	Operations	\$39,260.94	\$0.00		\$39,260.94
	Essential Services	\$16,826.12	\$0.00		\$16,826.12
	Homelessness Prevention	\$0.00	\$0.00		\$0.00
	Administration	\$2,951.95	\$0.00		\$2,951.95
	<b>Emergency Shelter Grants Subtotal</b>	<b>\$59,039.00</b>	<b>\$0.00</b>		<b>\$59,039.00</b>
Emergency Solutions Grants Program	Emergency Shelter**			\$0.00	\$0.00
	Renovation**			\$0.00	\$0.00
	Operation**			\$0.00	\$0.00
	Essential Service**			\$0.00	\$0.00
	URA Assistance**			\$0.00	\$0.00
	Street Outreach - Essential Services**			\$0.00	\$0.00
	HMIS		\$0.00	\$4,654.29	\$4,654.29
	Rapid Re-housing		\$0.00	\$18,306.88	\$18,306.88
	Housing Relocation and Stabilization Services		\$0.00	\$6,671.15	\$6,671.15
	Tenant-Based Rental Assistance		\$0.00	\$5,817.86	\$5,817.86
	Project-Based Rental Assistance		\$0.00	\$5,817.86	\$5,817.86
	Homelessness Prevention		\$0.00	\$7,757.15	\$7,757.15
	Housing Relocation and Stabilization Services		\$0.00	\$3,878.58	\$3,879
	Tenant-Based Rental Assistance		\$0.00	\$1,939.29	\$1,939
	Project-Based Rental Assistance		\$0.00	\$1,939.29	\$1,939.29
	Administration			\$2,490.68	\$2,490.68
	<b>Emergency Solutions Grants Subtotal</b>		<b>\$0.00</b>	<b>\$33,209.00</b>	<b>\$33,209.00</b>
			<b>Total Grant Amount:</b>		<b>\$92,248.00</b>

\*\*Allowable only if the amount obligated for homeless assistance activities using funds from the first allocation is less than the expenditure limit for emergency shelter and street outreach activities (see Section III.B. of this Notice).



**d. Summary of 2010 Grant Fund Commitments**

**Grand Total**

**Declaration of FY 2010 Grant Fund Commitments**

<b>Activity Type</b>	<b>Obligated Amount</b>
Homeless Assistance	\$714,657.45
Homelessness Prevention	\$-
Administrative Activities	\$37,613.55
<b>Total FY 2010 Award</b>	<b>\$752,271.00</b>

**City of Pawtucket**

**Declaration of FY 2010 Grant Fund Commitments**

<b>Activity Type</b>	<b>Obligated Amount</b>
Homeless Assistance	\$86,512.70
Homelessness Prevention	\$-
Administrative Activities	\$4,553.30
<b>Total FY 2010 Award</b>	<b>\$91,066.00</b>

**City of Providence**

**Declaration of FY 2010 Grant Fund Commitments**

<b>Activity Type</b>	<b>Obligated Amount</b>
Homeless Assistance	\$235,976.20
Homelessness Prevention	\$-
Administrative Activities	\$12,419.80
<b>Total FY 2010 Award</b>	<b>\$248,396.00</b>

**City of Woonsocket**

**Declaration of FY 2010 Grant Fund Commitments**

<b>Activity Type</b>	<b>Obligated Amount</b>
Homeless Assistance	\$55,791.60
Homelessness Prevention	\$-
Administrative Activities	\$2,936.40
<b>Total FY 2010 Award</b>	<b>\$58,728.00</b>

**State of Rhode Island**

**Declaration of FY 2010 Grant Fund Commitments**

<b>Activity Type</b>	<b>Obligated Amount</b>
Homeless Assistance	\$336,376.95
Homelessness Prevention	\$-
Administrative Activities	\$17,704.05
<b>Total FY 2010 Award</b>	<b>\$354,081.00</b>

## **6. WRITTEN STANDARDS FOR PROVISION OF ESG ASSISTANCE**

### ***a. Describe the standard policies and procedures for evaluating individuals' and families' eligibility for assistance under Emergency Solutions Grant (ESG).***

All providers funded under ESG will utilize a standardized assessment form when determining eligibility for all individuals and families presenting for CHF services and/or shelter. This form will be developed by a joint committee of service providers and the CHF Partnership.

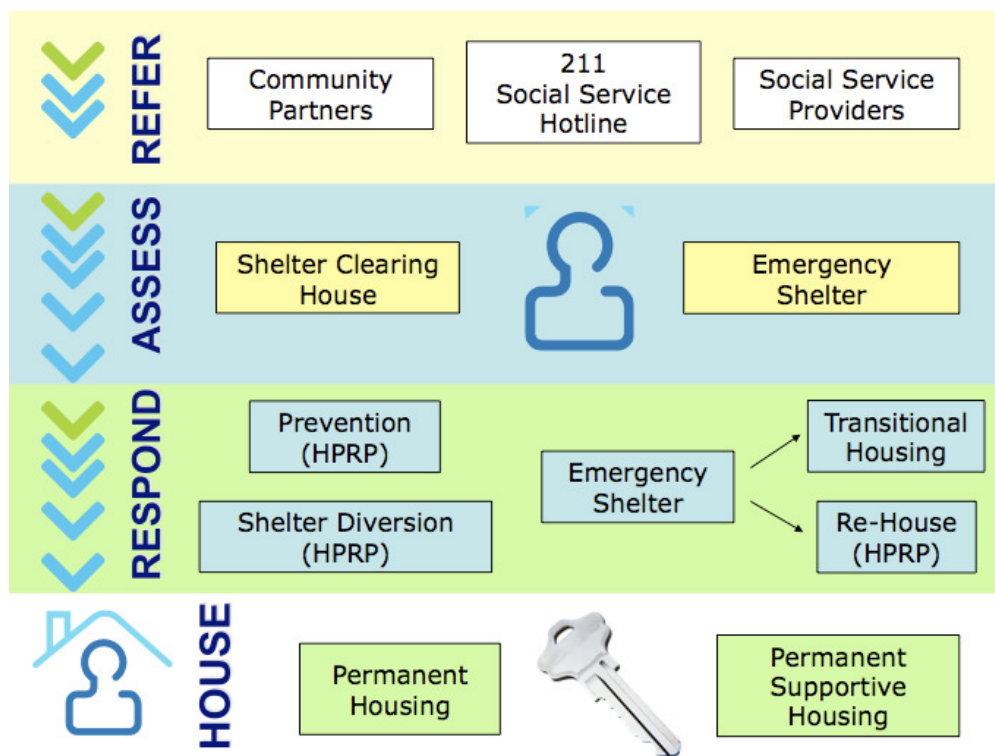
All providers funded under ESG will follow the eligibility and documentation standards developed by HUD and the Homeless Management Information System for all clients served with ESG shelter, HPRP, and/or services.

Family Shelter Providers and all other programs utilizing a waitlist that are funded under ESG will participate in a standardized statewide universal waitlist to be adopted by the CHF Partnership.

The policies and procedures of providers funded under ESG shall be consistent with the definitions of homeless and at risk of homelessness in 24 CFR 576.2 and the recordkeeping requirements in 24 CFR 576.500(b), (c), (d), and (e).

- b. Describe the policies and procedures for coordination among emergency shelter providers, essential service providers, homelessness prevention and rapid re-housing assistance providers, other homeless assistance providers, and mainstream service and housing providers.**

Although no one path to permanent housing is the same, the Rhode Island homeless system has three basic levels that any homeless or potentially homeless individual or family will move through. To help ensure that clients are assessed, provided resources, and housed quickly, the CHF Partnership has developed the following processes and procedures for referring and assisting clients served by ESG Activities. When an individual and/or family presents at our system's front door, ESG providers will work together to help assess, respond, and ultimately house those persons. The following chart illustrates a summary of this process.



**Figure 1 – Rhode Island Homeless System Flow Chart**

REFER –

- The CHF Partnership will launch an outreach initiative to community partners, social service agencies, and 211 to help educate staff on resources in the homeless system in order to improve referrals.

ASSESS –

- All providers funded under ESG will utilize a brief standardized assessment form when accepting clients into their own programs or making referrals. A joint committee of service providers and the CHF Partnership will develop this form.

- ESG Providers are strongly encouraged to work with clients upon first presenting at a shelter on a brief housing stabilization plan to help inform the client of available resources and beginning planning for the stabilization of their household and return to permanent housing. The CHF Partnership will work to provide best practices on this topic and try to establish tools in HMIS to help with the creation and tracking of housing plans.
- The Partnership will provide trainings and technical assistance on a regular basis for all staff in the system that may be referring or assessing clients to ensure consistency and knowledge of available resources.

#### RESPOND –

- ESG providers represent responders to the homeless system. Once a household is accepted into their program and/or shelter, agencies will offer services/shelter and assist clients to obtain permanent housing, as quickly as possible.
- Successful program outcomes will be incentivized through the system will be provided through annual performance based “bonus” awards.

#### HOUSE –

- The ultimate goal for all homeless households is to exit the system into permanent housing.
- Once households are housed, ESG providers will offer follow-up case management services and resources on an “as needed basis” (HPRP, LIHEAP, etc).

In order to accomplish the goal of helping homeless and at-risk households realize housing stability, ESG providers will be required to work collaboratively with other service providers and coordinate with them whenever possible. The CHF Partnership and ESG providers will work collaboratively with and make use of the other homeless assistance programs and mainstreams housing and service programs listed in Sections 576.400(b) and (c) of the Interim Rule.

- c. Describe the policies and procedures for determining and prioritizing which eligible families and individuals will receive homelessness prevention assistance and which eligible families and individuals will receive rapid re-housing assistance.***

Homelessness Prevention Services – Assistance provided to individuals and families to help prevent clients from becoming literally homeless (living in shelter, street, etc). The ESG provider funded under this activity must offer services statewide to any eligible clients. Assistance should be targeted to those households that are most likely to present at a shelter or become literally homeless, and not necessarily those persons with the least housing barriers and/or those who are highly self-sufficient prior to the provision of HPRP services.

Rapid Re-Housing Services – Assistance provided to *quickly* move individuals and families out of emergency shelters and places not meant for human habitation into permanent housing. The provider funded under this activity must offer services statewide to any eligible clients and will be responsible for outreaching to the various shelters and street outreach programs around the state to access eligible clients. Assistance should be targeted to those households that will be most likely to sustain housing once assistance ends.

- d. Describe the standards for determining the share of rent and utilities costs that each program participant must pay, if any, while receiving homelessness prevention or rapid re-housing assistance.***

HPRP Providers are encouraged to utilize various kinds of financial assistance subsidy types (sliding scale, percentage of income, etc) to help encourage the household to be independent and thoughtful spending and savings. However, individual assistance will be determined on a case-by-case basis and shall be subject to 3-month recertifications of eligibility.

- e. Describe the standards for determining how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time.***

The CHF Partnership will limit financial assistance in accordance with the Interim ESG regulations (no more 24 months in a 3 year period), including:

- Rental Assistance (Ongoing up to 24 months, Includes up to 6 months of arrears)
- Rental Deposits
- Utility Assistance (Ongoing up to 24 months, Includes up to 6 months of arrears)
- Utility Deposits
- Moving Cost Assistance

Homelessness Prevention Services – To best assist this population, intensive case management, financial literacy, and budgeting shall be provided to clients on a regular basis, to ensure housing stability once assistance ends. It is anticipated that most clients served under this activity will receive an average of 3-6 months of financial assistance and up to 9 months of case management and financial counseling. However, individual assistance will be determined on a case-by-case basis and shall be subject to 3-month recertifications of eligibility.

Rapid Re-Housing Services – To best assist this population, intensive case management, financial literacy, and budgeting shall be provided to clients on a regular basis, to ensure housing stability once the client exits the program. It is anticipated that most clients served under this activity will receive an average of 6-9 months of financial assistance and up to 12 months of case management and financial counseling. However, individual assistance will be determined on a case-by-case basis and shall be subject to 3-month recertifications of eligibility.

- f. Describe the standards for determining the type, amount, and duration of housing stabilization and/or relocation services to provide a program participant, including the limits, if any, on the homelessness prevention or rapid re-housing assistance that each program participant may receive, such as the maximum amount of assistance, maximum number of months the program participants receives assistance; or the maximum number of times the program participants may receive assistance.***

The CHF Partnership will limit the Housing Relocation and Stabilization Services in accordance with the Interim ESG regulations, including:

- Housing Stability Case Management (no more 24 months in a 3 year period)
- Housing Search and Placement Assistance (no more 24 months in a 3 year period)
- Landlord Mediation or outreach to property owners (no more 24 months in a 3 year period)
- Legal services related with eviction defense and prevention (no more 24 months in a 3 year period)
- Credit repair or financial counseling services (no more 24 months in a 3 year period)

Homelessness Prevention Services – To best assist this population, intensive case management, financial literacy, and budgeting shall be provided to clients on a regular basis, to ensure housing stability once assistance ends. It is anticipated that most clients served under this activity will receive up to 9 months of case management and financial counseling. However, individual assistance will be determined on a case-by-case basis and shall be subject to 3-month recertifications of eligibility.

Rapid Re-Housing Services – To best assist this population, intensive case management, financial literacy, and budgeting shall be provided to clients on a regular basis, to ensure housing stability once the client exits the program. It is anticipated that most clients served under this activity will receive up to 12 months of case management and financial counseling. However, individual assistance will be determined on a case-by-case basis and shall be subject to 3-month recertifications of eligibility.



## 7. PROCESS FOR MAKING SUB-AWARDS

The ESG Request for Proposals and Applications (included within the CHF) were released in January of 2012. A mandatory application workshop was held on January 23, 2012 and was advertised in local periodicals and posted online at <http://www.hrc.ri.gov/index.php>. Applications were submitted on February 29<sup>th</sup>, 2012.

The CHF Partnership has appointed a Review Committee to evaluate the submitted applications. This committee will consist of representation from:

- City of Providence,
- City of Pawtucket,
- City of Woonsocket
- RI Office of Housing and Community Development,
- RI Department of Human Services,
- RI Department of Behavioral Healthcare, Developmental Disabilities and Hospitals,
- RI Governor's Office Policy staff,
- RI Housing and Mortgage Finance Corporation (Lead COC Applicant),
- RI Housing Resource Commission,
- United Way/philanthropic organization

The CHF Partnership will rate the applications on the following criteria:

- Number of clients served.
- Population served.
- Services provided and/or Mainstream Resources accessed.
- Location of shelter (taking into account other public resources allocated/available to the program)
- Consideration will be given to program effectiveness in meeting adopted performance measures, as outlined in the application packet.
- Extra consideration will be given to those agencies, which have been effective in their discharge of clients/consumers.

Following rating and review by CHF Partnership staff for compliance with state and federal program requirements, the Review Committee will evaluate all proposals. The Committee will recommend funding to the Governor and Mayors of Pawtucket, Providence, and Woonsocket, who will then make the grantee awards.

## **8. HOMELESS PARTICIPATION REQUIREMENT**

*Describe your compliance with the Homeless Participation Requirement.*

The CHF Partnership places much importance on consumer input and ideas. The structure of the State's Office of Homelessness, which generally serves as the State's Continuum of Care, includes a Homeless Input working group which provides consumer input into State policy and planning related to homelessness. Additionally, the CHF Partnership distributes and collects client's surveys from homeless shelters and service providers around the state. These surveys are considered during the review committee's deliberation of funding and the onsite monitoring of ESG subrecipients.

## 9. PERFORMANCE STANDARDS

*Describe the performance standards for evaluating ESG activities. These performance standards must be developed in consultation with the Continuum of Care.*

ESG funds are intended to prevent and reduce homelessness through supportive services, emergency assistance, and housing. In order to assess progress towards these goals, ESG subrecipients shall be held to strict performance standards and outcomes, including specific program targets subrecipients will be expected to meet.

In order to encourage ESG providers to meet and exceed performance standards, the CHF Partnership will be utilizing a *new* Performance Based Funding Model and will be making additional awards halfway through the year based on a provider's performance to date for that program year (using non-ESG funds). Applicants awarded funds through ESG in the spring will be eligible to receive a "bonus" award in the fall based on performance outcomes like:

- Targeting those clients who need assistance the most;
- Reduction of housing barriers or housing stability risks for clients;
- High number of clients exited to permanent housing;
- Low number of clients exiting to emergency shelter;
- High number of clients exiting shelters with an increase in income;
- High number of chronically homeless clients exiting to permanent housing; or
- High numbers of clients with a reduced length of shelter stay, prior to permanent housing.
- Low number of clients with repeated episodes of homelessness.

These performance objectives will be discussed and outlined in greater detail during the award and contracting phase following the review of submitted applications. The Homeless Management Information System (HMIS) will be used to track these outcomes, so the capacity to collect and enter data into HMIS is very important for ESG providers. If an ESG provider repeatedly fails to meet their performance objectives current and/or future funding may be jeopardized.

## **10. CERTIFICATIONS**

Will be submitted with final draft to HUD.